FY 2008 Urban Areas Security Initiative (UASI), Nonprofit Security Grant Program (NSGP) Preparing an Investment Justification

Homeland Security

Background on UASI Nonprofit Security Grant

- Provides funding support for **target hardening** activities to nonprofit organizations (as described under section 501(c)(3) of the Internal Revenue Code of 1986 and exempt from tax under section 501(a) of such Code) that are at high-risk of international terrorist attack.

- Each Nonprofit must apply through their State Administrative Agency (SAA) for up to a $75,000 award. The Governor's Office of Homeland Security (OHS) is the SAA for the UASI grant.

- Grant program is designed to promote coordination and collaboration of emergency preparedness activities between public and private community representatives, state and local government agencies, and Citizen Corps Councils.

Homeland Security

Program Updates

FY 2007	FY 2008
Total available funding of $24,007,500	Total available funding of $15,000,000
Non-profits in 46 Urban Areas nationwide eligible	Non-profits in 60 Urban Areas nationwide eligible
Investment Justifications sent to OHS Representative for review	Investment Justifications uploaded to Office of Domestic Preparedness (ODP) Portal for more efficient processing
Award amounts to Nonprofits not to exceed $100,000	Award amounts to Nonprofits not to exceed $75,000

Homeland Security

Eligible Applicants

- Nonprofit organizations that are at **high-risk of international terrorist attack** and located within one of the 60 FY 2008 Urban Areas nationwide.
- **Criteria** for determining eligible applicants who are at high-risk of terrorist attack includes, but is not limited to:
  - Identification and substantiation (e.g. police reports or insurance claims) of prior threats or attacks (within or outside the U.S.) by a terrorist organization, network, or cell against the nonprofit organization
  - Symbolic value of the site(s) as a highly recognized national or historical institution that renders the site a possible target of terrorism
  - Role of the applicant nonprofit organization in responding to or recovering from terrorist attacks
  - Findings from previously conducted risk assessments including threat or vulnerability

Homeland Security

Funding Availability Overview

- **Provides $15,000,000 to high-risk nonprofit organizations in the U.S.**
- **Nonprofits located within designated UASI areas are eligible for up to a $75,000 grant award**
- **Match Requirement**
  - Grant recipients must meet a 75-25 percent federal-grantee match.
  - Grantee contributions must be from non-Federal sources.
  - The grantee's match may be met through cash, training investments related to use of equipment purchased with the grant, or training investments related to general purpose security and emergency preparedness for staff.

Homeland Security

Allowable Costs

- **Allowable Costs**
  - **Equipment.** Allowable costs are focused on target hardening activities. Therefore, funding may be used to support **two** categories of items on the Authorized Equipment List (AEL):
    - Physical Security Enhancement Equipment (category 14)
    - Inspection and Screening Systems (category 15)
    - Refer to the **Responder Knowledge Base (RKB)** Filter results for NSGP Grant.
  - **Training.** Funds may support nonprofit organization security personnel to attend security-related training courses and programs.
    - Allowable training topics are limited to the protection of Critical Infrastructure/Key Resources, including physical and cyber security, target hardening, and terrorism awareness/employee preparedness.
  - **Management and Administrative (M&A).** No more than 3 percent of the total award amount may be used for M&A purposes by the State.
  - **Grant Performance Period:** Subgrantees have 24 months to use grant money.

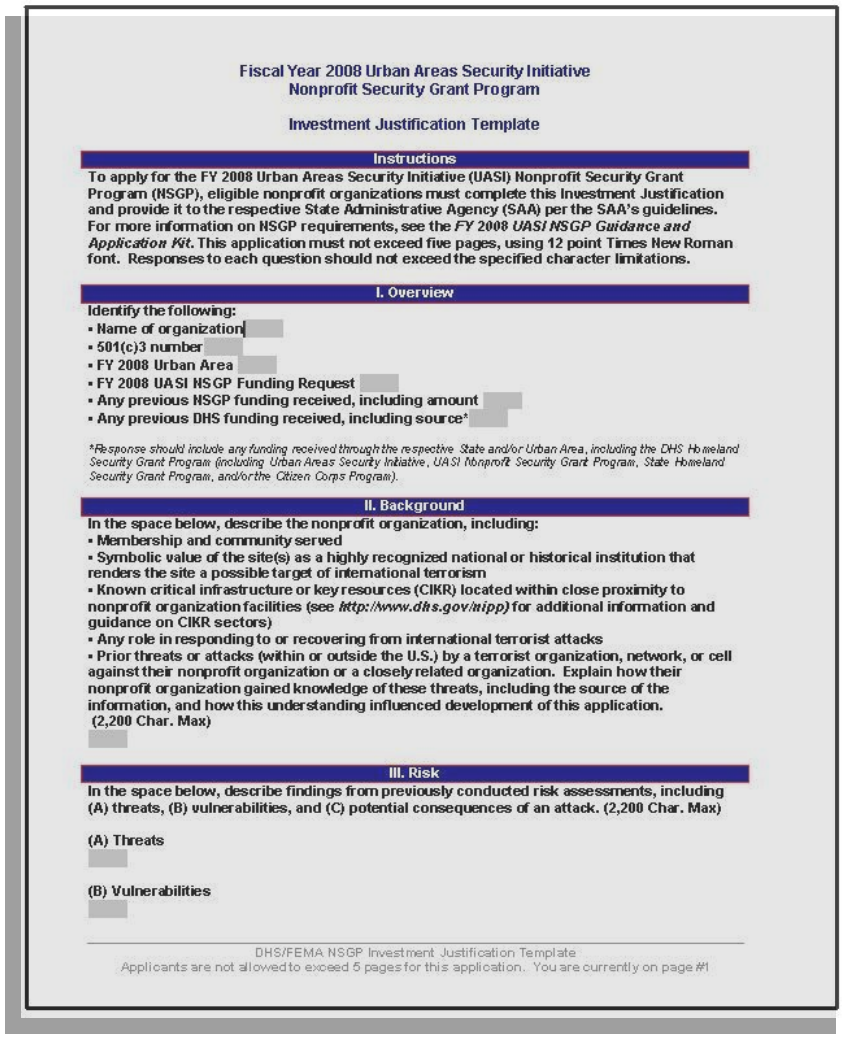
Investment Justification

- Applicants will be required to submit Investment Justifications to their SAA for funding requests that address the threat-oriented criteria, including specific information on:
  - What activities will be implemented
  - What outcomes will be achieved
  - How the investment will be managed
  - How the investment and related security enhancement activities are being coordinated with relevant state and local authorities

Homeland Security

Creating an Effective Investment Justification

- Remember that Investment Justifications are scored competitively by the assignment of a **Priority 1-5**.
- Start with the basics. Follow directions and write well. **Use the provided template.**
  - Five page limit
  - Times New Roman 12 Point
- Template is accessible from the internet and is ready to fill out. No need for a separate document.



Fiscal Year 2008 Urban Areas Security Initiative
Nonprofit Security Grant Program

Investment Justification Template

Instructions

To apply for the FY 2008 Urban Areas Security Initiative (UASI) Nonprofit Security Grant Program (NSGP), eligible nonprofit organizations must complete this Investment Justification and provide it to the respective State Administrative Agency (SAA) per the SAA's guidelines. For more information on NSGP requirements, see the *FY 2008 UASI NSGP Guidance and Application Kit*. This application must not exceed five pages, using 12 point Times New Roman font. Responses to each question should not exceed the specified character limitations.

I. Overview

Identify the following:
- Name of organization
- 501(c)3 number
- FY 2008 Urban Area
- FY 2008 UASI NSGP Funding Request
- Any previous NSGP funding received, including amount
- Any previous DHS funding received, including source*

*Response should include any funding received through the respective State and/or Urban Area, including the DHS Homeland Security Grant Program (including Urban Areas Security Initiative, UASI Nonprofit Security Grant Program, State Homeland Security Grant Program, and/or the Citizen Corps Program).

II. Background

In the space below, describe the nonprofit organization, including:
- Membership and community served
- Symbolic value of the site(s) as a highly recognized national or historical institution that renders the site a possible target of international terrorism
- Known critical infrastructure or key resources (CIKR) located within close proximity to nonprofit organization facilities (see *http://www.dhs.gov/nipp)* for additional information and guidance on CIKR sectors)
- Any role in responding to or recovering from international terrorist attacks
- Prior threats or attacks (within or outside the U.S.) by a terrorist organization, network, or cell against their nonprofit organization or a closely related organization. Explain how their nonprofit organization gained knowledge of these threats, including the source of the information, and how this understanding influenced development of this application. (2,200 Char. Max)

III. Risk

In the space below, describe findings from previously conducted risk assessments, including (A) threats, (B) vulnerabilities, and (C) potential consequences of an attack. (2,200 Char. Max)

(A) Threats

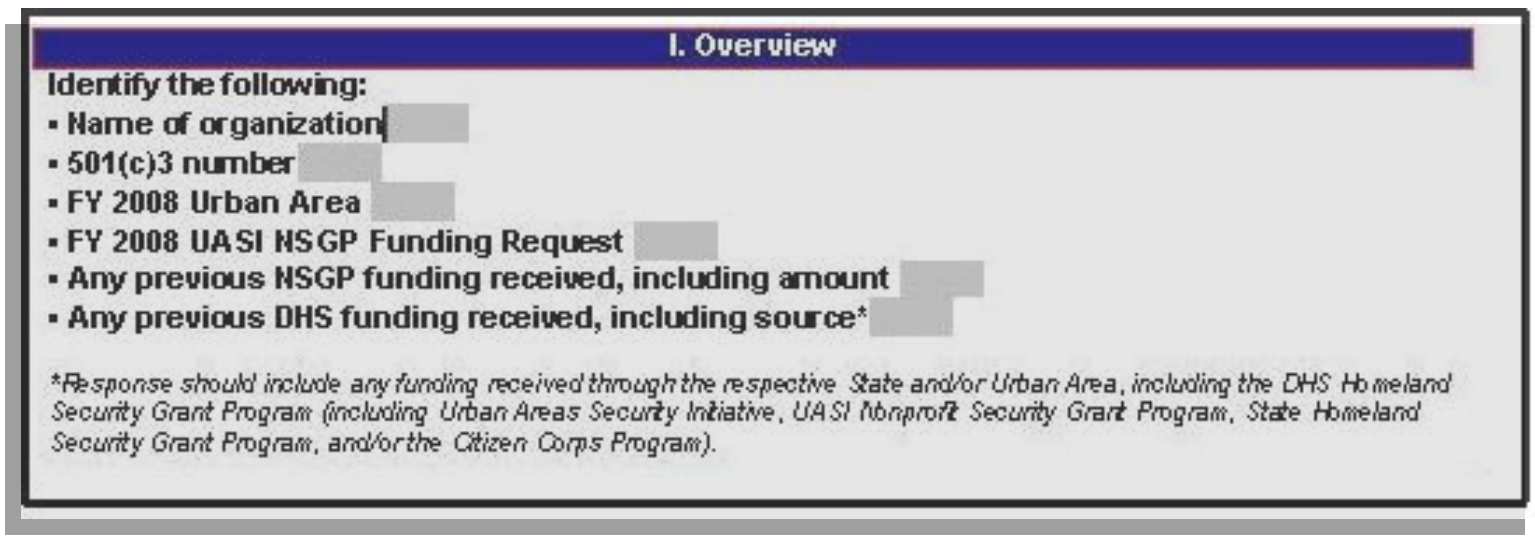
(B) Vulnerabilities

DHS/FEMA NSGP Investment Justification Template
Applicants are not allowed to exceed 5 pages for this application. You are currently on page #1

Homeland Security

Section One: The Overview

- Name of Organization, *e.g.: Wilson Blood Bank*
- 501(c)3 number: Non-Profit Identification
- FY 2008 Urban Area, *e.g.: CA-Bay Area*
- FY 2008 UASI NSGP Funding Request, *e.g.:$75,000*
- Previous NSGP funding received, with amount
- Previous DHS funding received, with source



I. Overview

Identify the following:

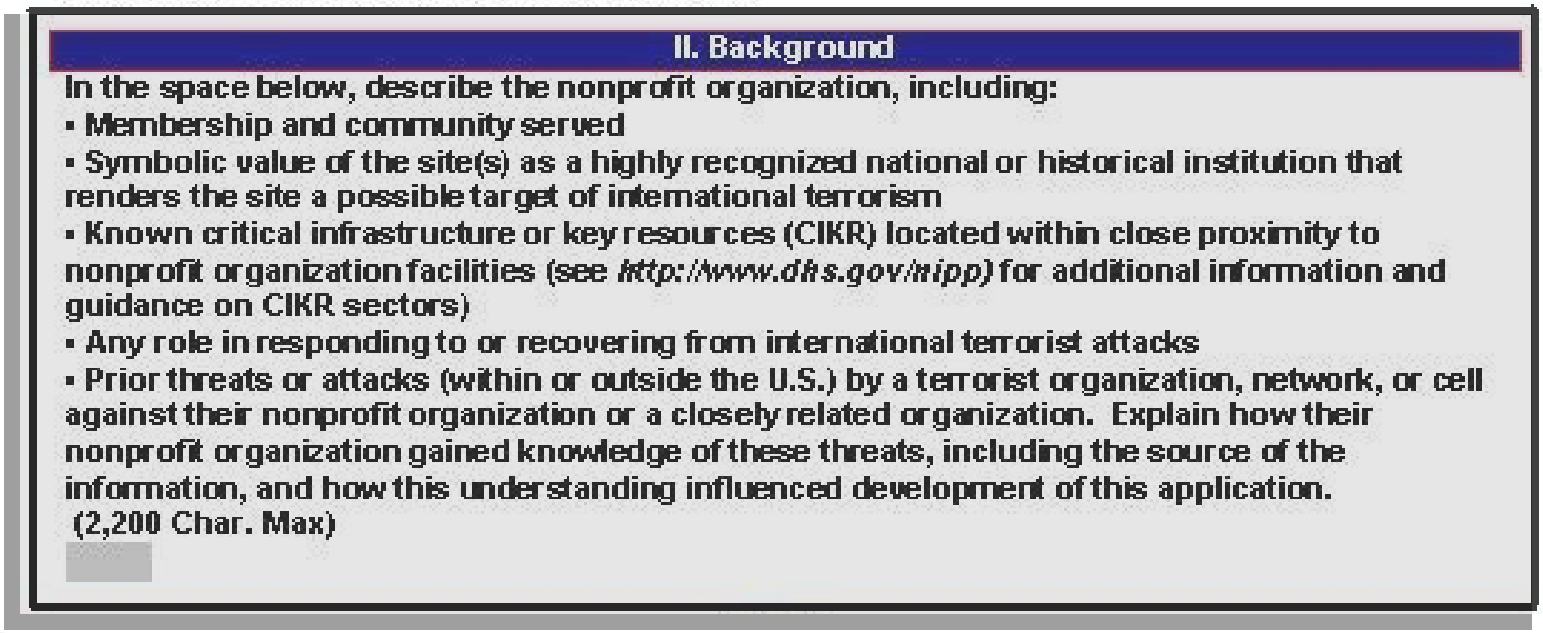
- **Name of organization**
- **501(c)3 number**
- **FY 2008 Urban Area**
- **FY 2008 UASI NSGP Funding Request**
- **Any previous NSGP funding received, including amount**
- **Any previous DHS funding received, including source***

**Response should include any funding received through the respective State and/or Urban Area, including the DHS Homeland Security Grant Program (including Urban Areas Security Initiative, UASI Nonprofit Security Grant Program, State Homeland Security Grant Program, and/or the Citizen Corps Program).*

Homeland Security

Section Two: Background

- This section is meant to provide a **BASIC and BROAD** understanding of the organization as it relates to Homeland Security.
- Pay close attention to the **2200 CHARACTER LIMIT!** Use existing terms.
- Community Served, Symbolic value of site, Critical Resources/Key Infrastructure nearby, Response/Recovery Role, Prior Threats or Attacks.



II. Background

In the space below, describe the nonprofit organization, including:

- Membership and community served
- Symbolic value of the site(s) as a highly recognized national or historical institution that renders the site a possible target of international terrorism
- Known critical infrastructure or key resources (CIKR) located within close proximity to nonprofit organization facilities (see *http://www.dhs.gov/nipp)* for additional information and guidance on CIKR sectors)
- Any role in responding to or recovering from international terrorist attacks
- Prior threats or attacks (within or outside the U.S.) by a terrorist organization, network, or cell against their nonprofit organization or a closely related organization. Explain how their nonprofit organization gained knowledge of these threats, including the source of the information, and how this understanding influenced development of this application. (2,200 Char. Max)

Homeland Security

Section Three: Risk

THREATS

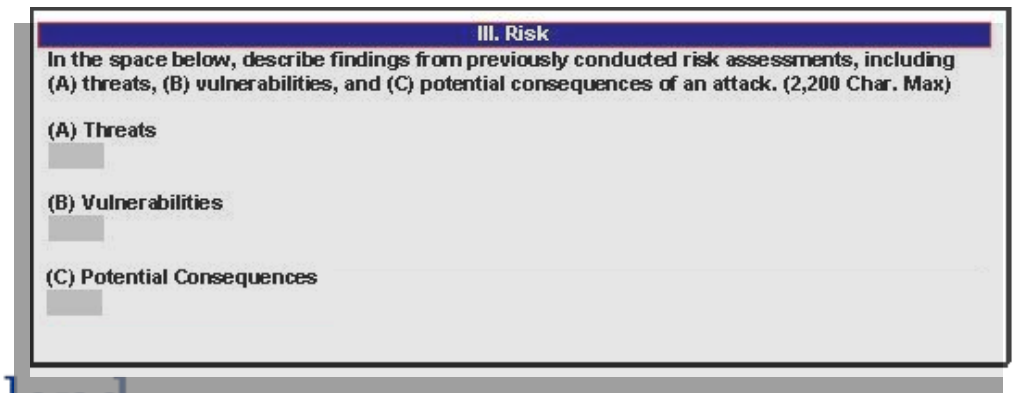
- Describe prior threats or attacks (within or outside U.S.) by an international terrorist organization/network/cell against **your** organization or a **similar** organization. *Use professional security assessments, insurance claims, police reports, etc. if available.* ***Regional Terrorism Threat Assessment Centers*** *are an excellent resource.*
- Describe symbolic value of your site.
- Describe known **Critical Infrastructure** or **Key Resources** located within proximity to nonprofit facilities. (schools, hospitals, mass transit, etc)

VULNERABILITIES

- Describe specific vulnerabilities that your site has.

POTENTIAL CONSEQUENCES

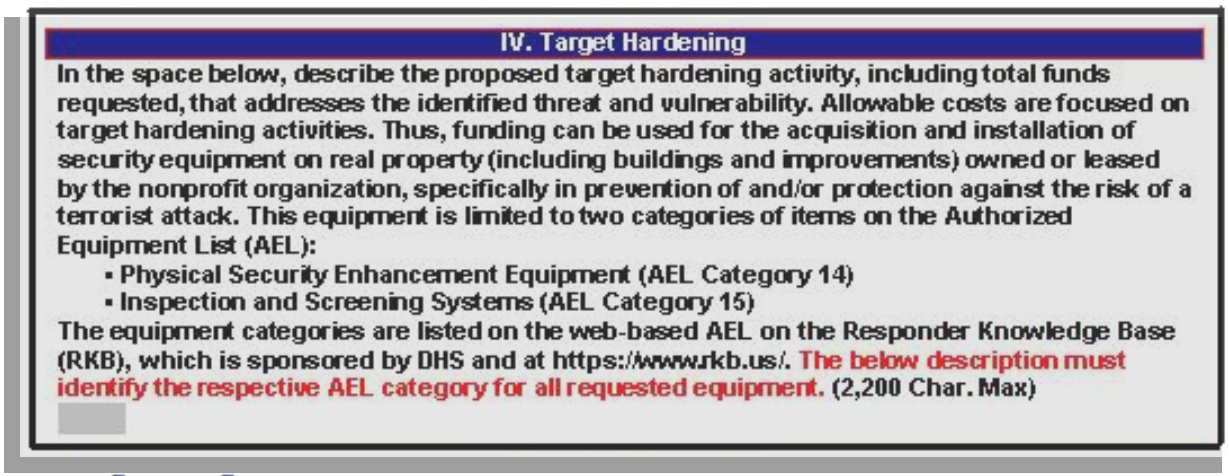
- Describe the human, economic, and symbolic consequences of attack.



Homeland Security

Section Four: Target Hardening/Training

- Outline your proposed projects. Make sure they address and correspond to the **RISKS** outlined in Section Three.
- Describe how the project will mitigate *prior threats or attacks/vulnerabilities/consequences* as outlined in Section Three.
- Include estimated cost of projects and **AEL NUMBER** from Authorized Equipment List.
    - Physical Security Enhancement Equipment (fences, cameras, etc)
    - Inspection and Screening Systems (X-Ray, metal detectors, etc)



IV. Target Hardening

In the space below, describe the proposed target hardening activity, including total funds requested, that addresses the identified threat and vulnerability. Allowable costs are focused on target hardening activities. Thus, funding can be used for the acquisition and installation of security equipment on real property (including buildings and improvements) owned or leased by the nonprofit organization, specifically in prevention of and/or protection against the risk of a terrorist attack. This equipment is limited to two categories of items on the Authorized Equipment List (AEL):

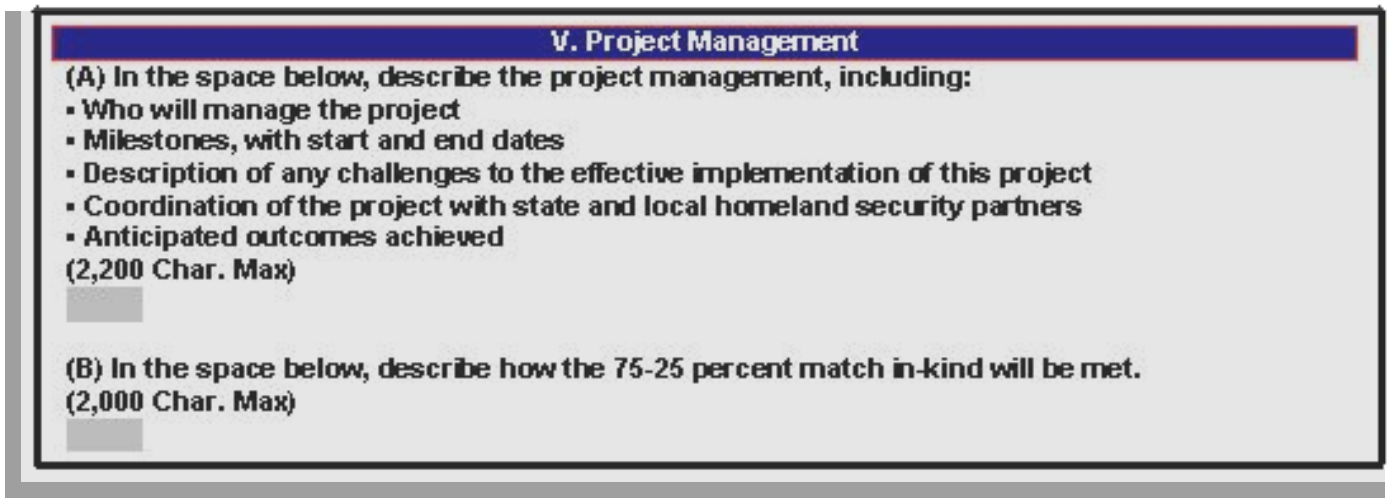
- Physical Security Enhancement Equipment (AEL Category 14)
- Inspection and Screening Systems (AEL Category 15)

The equipment categories are listed on the web-based AEL on the Responder Knowledge Base (RKB), which is sponsored by DHS and at https://www.rkb.us/. The below description must identify the respective AEL category for all requested equipment. (2,200 Char. Max)

Homeland Security

Section Five: Project Management/Match

- This section is to make sure the applicant has a **PLAN** and the **RESOURCES** necessary to effectively implement the projects.
- Who will manage the project and what are the project milestones? **USE DATES IF POSSIBLE.**
- List challenges to implementation and plans to overcome them.
- Outline coordination with local and state homeland security agencies.
- List anticipated outcomes or benefits of the project.
- Describe how the 75-25% match will be met.



Homeland Security

Hints to Succeed and Mistakes to Avoid

- Pay attention to the maximum character limit of each section and keep your Investment Justifications five pages or less.
- Make sure your projects correspond to one or both of the two AEL approved categories:
  - Physical Security Enhancement Equipment
  - Inspection and Screening Systems
- Contact your Regional Terrorism Threat Assessment Center for verifiable threat information.
- Do not begin purchasing equipment until you receive your Final Award Letter. An Identification Letter is not an award letter.

Homeland Security

Prioritization Methodology

SCORE = 1

- **Incomplete or unclear Investment Justification (IJ)**
- **Review panel *cannot verify* or substantiate information in Background and Risk section in IJ**

SCORE = 2

- **Partially complete IJ**
- **Review panel *cannot verify* or substantiate information in Background and Risk section in IJ**

SCORE = 3

- **Complete or clear IJ**
- **Review panel *can verify* or substantiate *some* information in Background and Risk section in IJ**

SCORE = 4

- **Partially complete or clear IJ**
- **Review panel *can verify* or substantiate *all* information in Background and Risk section in IJ**

SCORE = 5

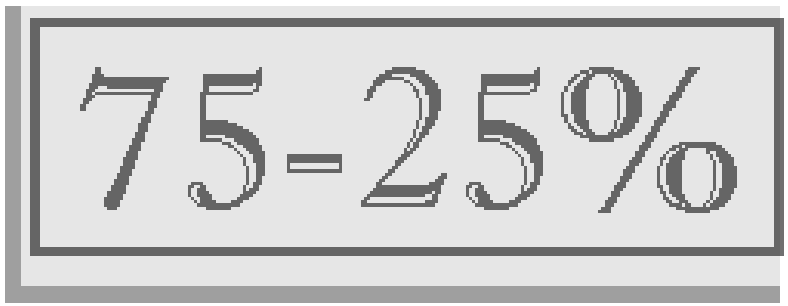
- **Complete and clear IJ**
- **Review panel *can verify* or substantiate *all* information in Background and Risk section in IJ**

Homeland Security

More about the 75-25% Match

- Match cannot be from a Federal source.
- Match can be met through cash or ‘in-kind’ contributions.
- An ‘In-Kind’ contribution may be related to equipment purchased with the grant. For example:

Work carried out to prepare for grant project.
Training personnel on new equipment purchased with grant.



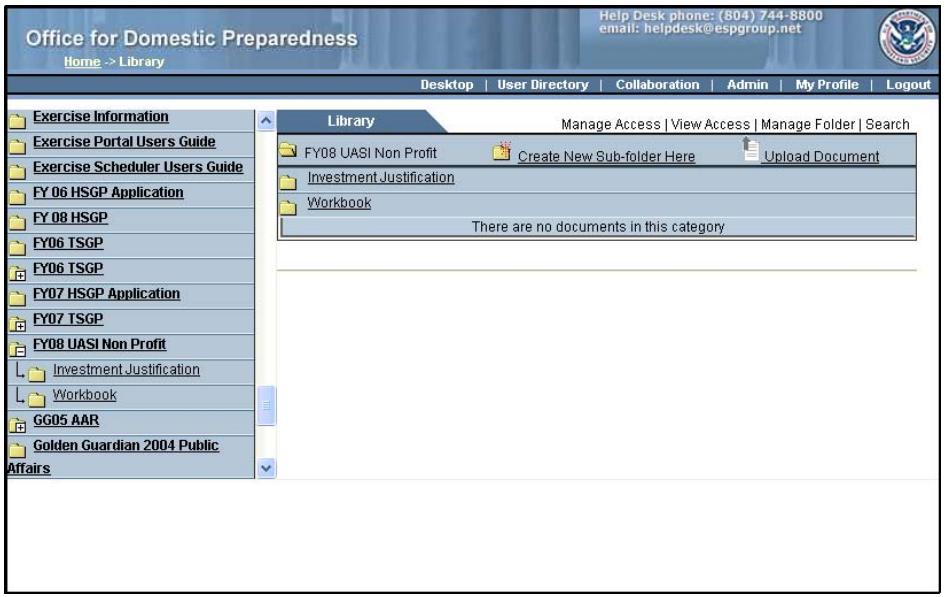
Homeland Security

Management and Administrative Costs

- A maximum of 3% of funds awarded may be retained by the State. This is used for management and administration purposes associated with the grant award.
- Assume that the entire 3% will be used and budget your project accordingly.

Homeland Security

The ODP Secure Portal



- Completed Investment Justifications are submitted to the SAA via the ODP Secure Portal. To submit your Investment Justification:
- *Note: New applicants must register with ODP before posting their Investment Justifications in order to receive a Login name and Password.*
- **Step 1:** Register and/or Login to ODP Secure Portal
- **Step 2:** Click on ‘Library’ link
- **Step 3:** Click on ‘FY08 UASI Non Profit’ folder then click on ‘Investment Justifications’ folder.
- **Step 4:** Upload Investment Justification to ‘Investment Justification’ folder by clicking on ‘Upload Document’.

Homeland Security

Application Process: Step One

- Investment Justifications will be reviewed to leverage local knowledge and understanding of the applicant's risk for international terrorist attack while also ensuring coordination and alignment with Federal, State and local preparedness efforts:

  - The SAA will work with the Urban Area Working Group and local Citizen Corps Council to develop a prioritized list of nonprofit investment justifications. Successfully ranking investment justifications will be sent to Department of Homeland Security (DHS) as an application.

  - Applications will be reviewed and award determinations made through a panel of evaluators from across DHS, including the Office of Infrastructure Protection, the Domestic Nuclear Detection Office, and the Office of Intelligence and Analysis.

Homeland Security

Application Process: Step Two

- Once **Award Determination** has been made by DHS, successful applicants will receive an **Identification Letter.** They then need to complete several other forms before final **Award Letter** is issued.
- These forms are for the reimbursement and monitoring of the awarded grant.
- A separate Training Workshop will be held to help sub-grantees with this process.
- **WE ARE HERE TO HELP**

Homeland Security

Timeline

▪ February 1, 2008	UASI NSGP Guidance release
▪ April 17, 2008	Investment Justifications Due
▪ April 21-23	Prioritization Conference
▪ May 1, 2008	Applications due to DHS
▪ June/July	DHS review of applications
▪ Mid-August	Identification Letters issued

Homeland Security

Resources

- OHS Website: www.ohs.ca.gov
- FY08 UASI NSGP California Supplemental guidance and related information, including the Investment Justification template.
  www.homeland.ca.gov/FY2008_UASI_NSGP.html
- Regional Terrorism Threat Assessment Centers: www.ohs.ca.gov/info_report.html
- Authorized Equipment List/Responder Knowledge Base: www.rkb.us - Filter results for Non Profit Security Grant Program (NSGP).
- Office of Domestic Preparedness Portal: https://odp.esportals.com/
- Office of Homeland Security Contact Info:
  - Martin.Gnechten@ohs.ca.gov
  - Peter.Town@ohs.ca.gov
  - Rakesh.Sharma@ohs.ca.gov

Homeland Security

Homeland
Security